LCO No. 2919

## AN ACT CONCERNING DEPARTMENT OF CONSUMER PROTECTION LICENSING AND ENFORCEMENT.

Be it enacted by the Senate and House of Representatives in General Assembly convened:

- 1 Section 1. Subsection (c) of section 20-281k of the general statutes is
- 2 repealed and the following is substituted in lieu thereof (*Effective July 1*,
- 3 2020):
- 4 (c) [Nothing in this section shall require a licensee to keep any
- 5 workpaper beyond the period prescribed in any other applicable
- 6 statute, except that any A licensee shall ensure that any work product
- 7 and workpaper created in the performance of an engagement for a client
- 8 are retained for not less than seven years after creation of such work
- 9 product and workpaper, unless the licensee is required by law to retain
- 10 <u>such records for a longer period. Any work product or</u> workpaper
- 11 prepared by a licensee in the course of an audit of a corporation the
- 12 securities of which are registered under Section 12 of the Securities
- 13 Exchange Act of 1934, as from time to time amended, or that is required
- to file reports under Section 15(d) of the Securities Exchange Act of 1934,
- as from time to time amended, shall be retained for the period described
- 16 in section 33-1332.
- 17 Sec. 2. Section 20-500 of the 2020 supplement to the general statutes
- is repealed and the following is substituted in lieu thereof (*Effective July*
- 19 1, 2020):
- As used in sections 20-500 to 20-529e, inclusive, unless the context
- 21 otherwise requires:

- 22 (1) "Appraisal" means the practice of developing an opinion of the value of real property, in conformance with the USPAP.
- 24 (2) "Appraisal Foundation" means the not-for-profit corporation 25 referred to in Section 1121 of Title XI of FIRREA.
- 26 (3) "Appraisal management company" means any person, 27 partnership, association, limited liability company or corporation that 28 performs appraisal management services. "Appraisal management 29 company" does not include:
- 30 (A) An appraiser that enters into a written or oral agreement with 31 another appraiser for the performance of an appraisal, which is signed 32 by both appraisers upon completion;
- 33 (B) An appraisal management company that **[**(i) is wholly owned by 34 a financial institution subject to regulation by an agency or department 35 of the United States government or an agency of this state, and (ii) only 36 receives appraisal requests from an employee of such financial 37 institution is a subsidiary owned and controlled by a financial 38 institution regulated by a federal financial institution regulatory agency 39 shall not be required to register with this state. For the purposes of this 40 subdivision, "financial institution" means a bank, as defined in section 41 36a-2, an out-of-state bank, as defined in section 36a-2, an institutional 42 lender, any subsidiary or affiliate of such bank, out-of-state bank or 43 institutional lender, or other lender licensed by the Department of 44 Banking;
  - (C) A department or unit of a financial institution subject to regulation by an agency or department of the United States government or an agency of this state that only receives appraisal requests from an employee of such financial institution; or
- 49 (D) Any local, state or federal agency or department thereof.
- 50 (4) "Appraisal management services" means any of the following:
- 51 (A) The administration of an appraiser panel;

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- (B) The recruitment of certified appraisers to be part of an appraiser panel, including, but not limited to, the negotiation of fees to be paid to, and services to be provided by, such appraisers for their participation on such panel; or
- (C) The receipt of an appraisal request or order or an appraisal review
   request or order and the delivery of such request or order to an
   appraiser panel.
- (5) "Appraiser panel" means a network of appraisers who are certified in accordance with the requirements established by the commission by regulation, who are independent contractors of an appraisal management company and who have:
- (A) Responded to an invitation, request or solicitation from an appraisal management company to perform appraisals (i) requested or ordered through such company, or (ii) directly for such company on a periodic basis as assigned by the company; and
  - (B) Been selected and approved by such company.
- (6) "Certified appraiser" means a person who has satisfied the 68 69 minimum requirements for a category of certification established by the 70 commission by regulation. Such minimum requirements shall be 71 consistent with guidelines established by the Appraisal Qualification 72 Board of the Appraisal Foundation. The categories of certification shall 73 include, but may be modified by the commission thereafter, one 74 category denoted as "certified residential appraiser" and another 75 denoted as "certified general appraiser".
- 76 (7) "Commission" means the Connecticut Real Estate Appraisal Commission appointed under the provisions of section 20-502.
- 78 (8) "Commissioner" means the Commissioner of Consumer 79 Protection.
- 80 (9) "Compliance manager" means a person who holds an appraiser 81 certification in at least one state and who is responsible for overseeing

- the implementation of, and compliance with, procedures for an appraisal management company to:
- (A) Verify that a person being added to the appraiser panel of the company holds a license in good standing in accordance with section 20-509;
- (B) Maintain detailed records of each appraisal request or order the company receives and of the appraiser who performs such appraisal; and
- 90 (C) Review on a periodic basis the work of all appraisers performing 91 appraisals for the company to ensure that such appraisals are being 92 conducted in accordance with the USPAP.

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- (10) "Controlling person" means a person who has not had an appraiser license or a similar license or appraiser certificate denied, refused to be renewed, suspended or revoked in any state and who:
- 96 (A) Is an owner, officer or director of a partnership, association, 97 limited liability company or corporation offering or seeking to offer 98 appraisal management services in this state;
- (B) Is employed by an appraisal management company and has the authority to enter into contracts or agreements for the performance of appraisal management services or appraisals, or is appointed or authorized by such company to enter into such contracts or agreements; or
- 104 (C) May exercise authority over or direct the management or policies 105 of an appraisal management company.
- 106 (11) "Engaging in the real estate appraisal business" means the act or 107 process of estimating the value of real estate for a fee or other valuable 108 consideration.
- 109 (12) "FIRREA" means the Financial Institutions, Reform, Recovery 110 and Enforcement Act of 1989, P.L. 101-73, 103 Stat. 183.

- 111 (13) "Person" means an individual.
- 112 (14) "Provisional appraiser" means a person engaged in the business
- of estimating the value of real estate for a fee or other valuable
- 114 consideration under the supervision of a certified real estate appraiser
- and who meets the minimum requirements, if any, established by the
- 116 commission by regulation for provisional appraiser status.
- 117 (15) "Provisional license" means a license issued to a provisional
- 118 appraiser.
- (16) "Real estate appraiser" or "appraiser" means a person engaged in
- 120 the business of estimating the value of real estate for a fee or other
- 121 valuable consideration.
- 122 (17) "USPAP" means the Uniform Standards of Professional
- 123 Appraisal Practice issued by the Appraisal Standards Board of the
- 124 Appraisal Foundation pursuant to Title XI of FIRREA.
- Sec. 3. Subsection (c) of section 20-529 of the 2020 supplement to the
- 126 general statutes is repealed and the following is substituted in lieu
- thereof (*Effective July 1, 2020*):
- 128 (c) Before issuing or renewing a certificate of registration, the
- 129 commissioner may:
- 130 (1) Certify that each appraisal management company applying for a
- 131 certificate of registration has procedures in place to (A) verify that a
- person being added to the appraiser panel of the company holds a
- 133 certificate in good standing in accordance with section 20-509, (B)
- maintain detailed records of each appraisal request or order it receives
- and of the appraiser who performs such appraisal, and (C) review on a
- periodic basis the work of all appraisers performing appraisals for the
- 137 company, to ensure that such appraisals are being conducted in
- accordance with the USPAP;
- 139 (2) Determine to the commissioner's satisfaction that each person
- 140 owning [more than ten per cent of] an interest in an appraisal

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- 142 submitted to a background investigation, as deemed necessary by the
- 143 commissioner;
- 144 (3) Determine to the commissioner's satisfaction that the controlling
- 145 person (A) has never had an appraiser license or certificate denied,
- 146 refused to be renewed, suspended or revoked in any state, (B) is of good
- 147 moral character, and (C) has submitted to a background investigation,
- 148 as deemed necessary by the commissioner; and
- 149 (4) Determine to the commissioner's satisfaction that each appraisal
- 150 management company compensates appraisers in compliance with the
- 151 federal Truth-in-Lending Act, 15 USC Section 1639e(i), as amended from
- 152 time to time.
- 153 Sec. 4. Section 20-529b of the 2020 supplement to the general statutes
- 154 is repealed and the following is substituted in lieu thereof (*Effective July*
- 155 1, 2020):
- 156 (a) No appraisal management company applying for a certificate of
- 157 registration shall:
- 158 (1) Be owned by any person who has had an appraiser license or
- 159 certificate denied, refused to be renewed, suspended or revoked in any
- 160 state;
- 161 (2) Be owned by any partnership, association, limited liability
- 162 company or corporation [that is more than ten per cent owned by] in
- 163 which there is an ownership interest held by any person who has had
- 164 an appraiser license or certificate denied, refused to be renewed,
- 165 suspended or revoked in any state;
- 166 (3) Employ any person to perform job functions related to the
- 167 ordering, preparation, performance or review of appraisals who has had
- 168 an appraiser license or certificate denied, refused to be renewed,
- 169 suspended or revoked; or
- 170 (4) Enter into any contract, agreement or other business arrangement,

- (b) Any employee of an appraisal management company or any contractor working on behalf of such company who has any involvement in the performance of appraisals in this state or review and analysis of completed appraisals in this state shall be certified and in good standing pursuant to the provisions of sections 20-500 to 20-528, inclusive, as amended by this act. This subsection shall not prohibit an individual who is not so certified from performing job functions that (1) are confined to an examination of an appraisal or an appraisal report for grammatical, typographical or clerical errors, and (2) do not involve the formulation of opinions or comments about (A) the appraiser's data collection, analyses, opinions, conclusions or valuation, or (B) compliance of such appraisal or appraisal report with the USPAP.
- (c) Except in cases of breach of contract or substandard performance of services or where the parties have mutually agreed upon an alternate payment schedule in writing, each appraisal management company operating in this state shall make payment to an appraiser for the completion of an appraisal or valuation assignment not later than forty-five days after the date on which such appraiser transmits or otherwise provides the completed appraisal or valuation study to the appraisal management company or its assignee.
- (d) No employee, owner, controlling person, director, officer or agent of an appraisal management company shall intentionally influence, coerce or encourage or attempt to influence, coerce or encourage, an appraiser to misstate or misrepresent the value of a subject property, by any means, including:

- 206 (2) Withholding or threatening to withhold business from, or 207 demoting, terminating or threatening to demote or terminate, an 208 appraiser;
- 209 (3) Expressly or impliedly promising future business, promotion or increased compensation to an appraiser;
- 211 (4) Conditioning an appraisal request or payment of a fee, salary or 212 bonus on the opinion, preliminary estimate, conclusion or valuation to 213 be reached by the appraiser;
- 214 (5) Requesting that an appraiser provide a predetermined or desired 215 valuation in an appraisal report or estimated values or comparable sales 216 at any time prior to the completion of an appraisal;
- 217 (6) Providing to an appraiser an anticipated, estimated, encouraged 218 or desired value for a subject property or a proposed or target amount 219 to be loaned to the borrower, except that a copy of the contract to 220 purchase may be provided;
- 221 (7) Providing or offering to provide to an appraiser or to any person 222 or entity related to the appraiser stock or other financial or nonfinancial 223 benefits;
- 224 (8) Removing an appraiser from an appraiser panel without prior 225 written notice to such appraiser as set forth in section 20-529c;
  - (9) Obtaining, using or paying for a subsequent appraisal or ordering an automated valuation model in connection with a mortgage financing transaction unless (A) there is a reasonable basis to believe that the initial appraisal was flawed or tainted and such basis is clearly noted in such transaction file, or (B) such subsequent appraisal or automated valuation model is performed pursuant to a bona fide prefunding or postfunding appraisal review, loan underwriting or quality control process; or

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- 234 (10) Using any other act or practice that impairs or attempts to impair 235 an appraiser's independence, objectivity or impartiality.
- (e) Nothing in subsection (d) of this section shall be construed to prohibit an appraisal management company from requesting that an appraiser provide additional information about the basis for a valuation or correct objective factual errors in an appraisal report.
- Sec. 5. Subsection (c) of section 20-517 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective July 1*, 2020):
- 243 (c) Persons certified or provisionally licensed in accordance with the 244 provisions of sections 20-500 to 20-528, inclusive, as amended by this 245 act, shall fulfill a continuing education requirement. Applicants for an 246 annual renewal certification or provisional license shall, in addition to 247 the other requirements imposed by the provisions of said sections, 248 biennially within any even-numbered year submit proof of compliance 249 with the continuing education requirements of this subsection, if any, to 250 the commission. [, accompanied by a sixteen-dollar processing fee] Each 251 licensee shall pay an eight-dollar continuing education processing fee 252 annually to cover the costs associated with the review and auditing of 253 continuing education submissions.
- Sec. 6. Section 20-295b of the general statutes is repealed and the following is substituted in lieu thereof (*Effective July 1, 2020*):
- 256 (a) Any person who, on October 1, 1969, holds a certificate of 257 authority or renewal issued pursuant to sections 20-295 and 20-295a of 258 the general statutes, revised to 1968, shall be entered on the roster of 259 licensed architects and shall thereafter be authorized and entitled to 260 practice architecture in accordance with the provisions of this chapter.
- (b) An architect licensed in this state may perform the work of an
   interior designer, as prescribed in chapter 396a.
- Sec. 7. Section 20-292 of the 2020 supplement to the general statutes is repealed and the following is substituted in lieu thereof (*Effective July*

- (a) Each licensed architect shall renew his or her license annually.
  Pursuant to section 20-289, a licensee shall pay to the department the
  professional services fee for class F, as defined in section 33-182*l* and
  shall submit proof of, or attest to, completion of continuing education
  requirements.
- (b) Each corporation holding a certificate of authorization for the practice of architecture shall renew its certificate of authorization for the practice of architecture each year and pay to the department a renewal fee of two hundred twenty dollars.
  - (c) An applicant for examination or reexamination under this chapter shall pay a nonrefundable fee of seventy-two dollars and an amount sufficient to meet the cost of conducting each portion of the examination taken by such applicant. The fee for an applicant who qualifies for a license, other than by examination, in accordance with the provisions of section 20-291, shall be one hundred dollars.
  - (d) Pursuant to section 20-289, an architect who is retired and not practicing any aspect of architecture and who is (1) sixty-five years of age or older, or (2) has been licensed for a minimum of ten years in this state, may apply for registration as an Architect Emeritus. The fee for such registration shall be ten dollars. An Architect Emeritus may not engage in the practice of architecture without applying for and receiving an architect license.
  - (e) For renewal of a license under this section, an applicant shall attest that he or she has completed twelve hours of continuing professional education during the continuing professional education period. The continuing professional education period shall commence three calendar months prior to the credential expiration date and shall run for a period of one calendar year from the date of commencement.
  - (f) (1) For renewal of a license under this section, the department shall charge the following fees for failure to earn continuing professional

- education credits by the end of the continuing professional educationperiod:
- 298 (A) Three hundred fifteen dollars for reporting on a renewal 299 application a minimum of twelve hours of continuing professional 300 education, any of which was earned up to thirteen weeks following the 301 end of the continuing professional education period;
- 302 (B) Six hundred twenty-five dollars for reporting on a renewal application a minimum of twelve hours of continuing professional education, any of which was earned up to twenty-six weeks following the end of the continuing professional education period;
- 306 (2) Failure, on the part of a licensee under section 20-292, as amended
  307 by this act, to comply with the continuing professional education
  308 requirements for more than twenty-six weeks beyond the continuing
  309 professional education period may result in the suspension, revocation
  310 or refusal to renew the license by the board or department after an
  311 administrative hearing held pursuant to chapter 54.
  - Sec. 8. Subsection (a) of section 20-452 of the 2020 supplement to the general statutes is repealed and the following is substituted in lieu thereof (*Effective from passage*):
  - (a) Any person seeking a certificate of registration as a community association manager or as a community association manager trainee shall apply to the department in writing, on a form provided by the department. Such application shall include the applicant's name, residence address, business address, business telephone number, a question as to whether the applicant has been convicted of a felony in any state or jurisdiction and such other information as the department may require. Except for a community association manager trainee, any person seeking an initial certificate of registration shall submit to a request by the commissioner for a state and national criminal history records check, to be conducted in accordance with section 29-17a. No registration as a community association manager shall be issued unless the commissioner has received the results of such records check.

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- Sec. 9. Section 20-453 of the 2020 supplement to the general statutes is repealed and the following is substituted in lieu thereof (*Effective from passage*):
  - (a) Upon receipt of a completed application and the appropriate fees, the department, upon authorization of the commission, shall: (1) Issue and deliver to the applicant a certificate of registration; or (2) refuse to issue the certificate. The commission may suspend, revoke or refuse to issue or renew any certificate issued under sections 20-450 to 20-462, inclusive, or may place a registrant on probation or issue a letter of reprimand for any of the reasons stated in section 20-456. No application for the reinstatement of a certificate which has been revoked shall be accepted by the department within one year after the date of such revocation.
  - (b) Any person issued an initial certificate of registration as a community association manager prior to October 1, 2019, shall, not later than one year following the date of issuance of such certificate, successfully complete a nationally recognized course on community association management and pass the National Board of Certification for Community Association Managers' Certified Manager of Community Associations examination, or a similar examination as may be prescribed by the Commissioner of Consumer Protection in regulations adopted pursuant to subsection [(c)] (d) of this section.
  - (c) Prior to any person applying for an initial certificate of registration as a community association manager on or after October 1, 2019, such person shall successfully complete a nationally recognized course on community association management and pass the National Board of Certification for Community Association Managers' Certified Manager of Community Associations examination, or a similar examination as may be prescribed by the Commissioner of Consumer Protection in regulations adopted pursuant to subsection (d) of this section.
  - [(c)] (d) The department, with the advice and assistance of the commission, shall adopt regulations, in accordance with chapter 54, concerning any examination required for certification under this chapter

and the approval of schools, institutions or organizations offering courses in current practices and laws concerning community association management and the content of such courses. Such regulations shall include, but not be limited to: (1) Specifications for meeting the educational requirements prescribed in this section; and (2) exemptions from the educational requirements for reasons of health or instances of individual hardship. In adopting such regulations, the department may not disapprove a school, institution or organization that offers an examination or courses in current practices and laws concerning community association management solely because its examination or courses are offered or taught by electronic means, nor may the department disapprove an examination or course solely because it is offered or taught by electronic means.

[(d)] (e) An applicant for renewal of registration as a community association manager shall, in addition to the other requirements imposed by the provisions of this chapter, complete sixteen hours of continuing education over the course of the two-year period, retain proof of completion, and, upon request, provide such proof to the department. Continuing education shall consist of a course or courses, offered by the Connecticut Chapter of the Community Associations Institute, in community association management techniques and common interest community law, or similar courses as may be prescribed by the Commissioner of Consumer Protection in regulations adopted pursuant to this chapter.

Sec. 10. Section 20-457 of the 2020 supplement to the general statutes is repealed and the following is substituted in lieu thereof (*Effective from passage*):

(a) Each community association manager shall (1) exhibit his or her certificate of registration upon request by any interested party, (2) state in any advertisement the fact that he or she is registered, and (3) include his or her registration number in any advertisement. In the case of a business entity, the advertisement shall identify at least one principal, officer or director of the entity that is a community association manager

394 and shall include the registration number of such principal, officer or 395 director.

- 396 (b) No person shall: (1) Present or attempt to present, as his or her 397 own, the certificate of another, (2) knowingly give false evidence of a 398 material nature to the commission or department for the purpose of 399 procuring a certificate, (3) represent himself or herself falsely as, or 400 impersonate, a registered community association manager, (4) use or attempt to use a certificate which has expired or which has been 402 suspended or revoked, (5) offer to provide association management 403 services without having a current certificate of registration under 404 sections 20-450 to 20-462, inclusive, (6) represent in any manner that his 405 or her registration constitutes an endorsement of the quality of his or 406 her services or of his or her competency by the commission or 407 department. In addition to any other remedy provided for in sections 408 20-450 to 20-462, inclusive, any person who violates any provision of 409 this subsection shall, after an administrative hearing, be fined not more 410 than one thousand dollars, or shall be imprisoned for not more than one year or be both fined and imprisoned. A violation of any of the 412 provisions of sections 20-450 to 20-462, inclusive, shall be deemed an 413 unfair or deceptive trade practice under subsection (a) of section 42-414 110b.
- 415 (c) Certificates issued to community association managers shall not 416 be transferable or assignable.
  - (d) All certificates issued to community association managers under the provisions of sections 20-450 to 20-462, inclusive, shall expire annually on the thirty-first day of January. A holder of a certificate of registration who seeks to renew his or her certificate shall, when filing an application for renewal of the certificate, submit documentation to the department which establishes that he or she has passed any examination and completed any educational coursework, as the case may be, required for certification under this chapter. The fee for renewal of a certificate shall be two hundred dollars.
- 426 (e) A community association manager whose certificate has expired

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- more than one month before his or her application for renewal is made
- shall have his or her registration restored upon payment of a fee of fifty
- dollars in addition to his or her renewal fee. Restoration of a registration
- shall be effective upon approval of the application for renewal by the
- 431 commission or department.
- (f) A certificate shall not be restored unless it is renewed not later than
- 433 one year after its expiration.]
- 434 [(g)] (e) Failure to receive a notice of expiration or a renewal
- 435 application shall not exempt a community association manager from the
- 436 obligation to renew.
- [(h)] (f) All certificates issued to community association manager
- 438 trainees under the provisions of sections 20-450 to 20-462, inclusive,
- shall expire six months from the date of issuance and shall not be
- 440 renewable.
- Sec. 11. Subsection (b) of section 20-458 of the 2020 supplement to the
- 442 general statutes is repealed and the following is substituted in lieu
- 443 thereof (*Effective from passage*):
- (b) No contract to provide association management services shall:
- 445 (1) Be sold or assigned to another person without the approval of a
- 446 majority of the executive board of the association; or
- 447 (2) Include any clause, covenant or agreement that indemnifies or
- 448 holds harmless the person contracting to provide association
- 449 management services from or against any liability for loss or damage
- resulting from such person's negligence or [wilful] willful misconduct.
- Sec. 12. Subsection (b) of section 20-460 of the 2020 supplement to the
- 452 general statutes is repealed and the following is substituted in lieu
- 453 thereof (*Effective from passage*):
- 454 (b) The commercially available insurance policy referred to in
- 455 subsection (a) of this section shall: (1) Be written by an insurance

company authorized to write such policies in this state; (2) except as provided in subsection (c) of this section, cover the maximum funds that will be in the custody of the community association manager at any time while the bond is in force, and in no event be less than the sum of three months' assessments plus reserve funds; (3) name the association as obligee; (4) [cover the community association manager, community association manager trainee and all partners, officers, employees of the community association manager and may cover other persons controlling, collecting, having access to or disbursing association funds as well; (5)] be conditioned upon the persons covered by the policy truly and faithfully accounting for all funds received by them, under their care, custody or control, or to which they have access; [(6)] (5) provide that the insurance company issuing the policy may not cancel, substantially modify or refuse to renew the policy without giving thirty days' prior written notice to the association and the department, except in the case of a nonpayment of premiums, in which case ten days' prior written notice shall be given; [(7)] and (6) contain such other provisions as the department may, by regulation, require.

Sec. 13. Subsection (b) of section 21a-190e of the general statutes is repealed and the following is substituted in lieu thereof (*Effective from passage*):

(b) A fund-raising counsel who at any time has custody or control of contributions from a solicitation shall register with the department. Applications for registration or renewal of a registration as a fund-raising counsel shall be in a form prescribed by the commissioner and shall be accompanied by a fee in the amount of one hundred twenty dollars. Each fund-raising counsel shall certify that such application or report is true and correct to the best of the fund-raising counsel's knowledge. Each application shall contain such information as the department shall require. Each registration shall be valid for one year and may be renewed for additional one-year periods. An applicant for registration or for a renewal of registration as a fund-raising counsel shall, at the time of making such application, file with and have approved by the department a bond in a form prescribed by the

Sec. 14. Section 21a-190f of the general statutes is repealed and the following is substituted in lieu thereof (*Effective from passage*):

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- (a) No person shall act as a paid solicitor unless such person has first registered with the department. Registration shall be in a form prescribed by the commissioner, shall be certified by the paid solicitor as true and correct to the best of the solicitor's knowledge and shall be accompanied by a fee in the amount of five hundred dollars. The application shall contain such information as the department shall require. Each registration shall be valid for one year and may be renewed for additional one-year periods.
- (b) An applicant for registration or for a renewal of registration as a paid solicitor shall, at the time of making such application, file with and have approved by the department a bond in a form prescribed by the commissioner, in which the applicant shall be the principal obligor in the sum of [twenty] fifty thousand dollars, with one or more responsible

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523 sureties whose liability in the aggregate as such sureties shall be no less 524 than such sum. The paid solicitor shall maintain the bond in effect as 525 long as the registration is in effect. The bond shall run to the state and 526 to any person who may have a cause of action against the principal 527 obligor of the bond for any liabilities resulting from the obligor's 528 conduct of any activities subject to sections 21a-190a to 21a-190l, 529 inclusive, as amended by this act, or arising out of a violation of said 530 sections or any regulation adopted pursuant to said sections.

(c) No less than twenty days prior to the commencement of each solicitation campaign, a paid solicitor shall file with the department a copy of the contract described in subsection (d) of this section and shall complete a solicitation notice in a form prescribed by the commissioner. A solicitation notice shall be certified by the paid solicitor as true and correct to the best of the solicitor's knowledge and shall include a description of the solicitation event or campaign, the location and telephone number from which the solicitation is to be conducted, the names and residence addresses of all employees, agents or other persons however styled who are to solicit during such campaign and the account number and location of all bank accounts where receipts from such campaign are to be deposited. Copies of campaign solicitation literature, including the text of any solicitation to be made orally, shall be submitted to the department. The charitable organization on whose behalf the paid solicitor is acting shall certify that the solicitation notice and accompanying material are true and complete. Prior to the commencement of such solicitation campaign, the commissioner shall publicize such solicitation by posting on the department's web site information describing the terms of the contract between the paid solicitor and the charitable organization, the dates of such solicitation campaign and the percentage of the raised funds to be retained by the paid solicitor. The commissioner may publicize such solicitation through any additional means the commissioner deems appropriate. If a solicitation campaign continues for a period longer than five years, the paid solicitor shall, every five years and by not later than the last day of the month of the submission of the first solicitation notice, complete a new solicitation notice in a form prescribed by the commissioner and

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- (d) A contract between a paid solicitor and a charitable organization shall be in writing, shall clearly state the respective obligations of the paid solicitor and the charitable organization and shall state the minimum amount that the charitable organization shall receive as a result of the solicitation campaign, which minimum amount shall be stated as a percentage of the gross revenue. Such minimum amount shall not include any amount that the charitable organization is to pay as expenses of the solicitation campaign.
- (e) A paid solicitor shall, prior to orally requesting a contribution, and at the same time at which a written request for a contribution is made, clearly and conspicuously disclose at the point of solicitation such solicitor's name as on file with the department, the fact that such solicitor is a paid solicitor and the percentage of the gross revenue which the charitable organization shall receive as identified in subsection (d) of this section.
- (f) A paid solicitor shall, in the case of a solicitation campaign conducted orally, whether by telephone or otherwise, send a written confirmation to each person who has pledged to contribute, no more than five days after such person has been solicited, which confirmation shall include a clear and conspicuous disclosure of the information required by subsection (e) of this section.
- (g) A paid solicitor shall not represent that any part of the contributions received will be given or donated to any charitable organization unless such organization has consented in writing to the use of its name, prior to the solicitation. Such written consent, if given, shall be signed by two authorized officers, directors or trustees of the charitable organization.
- (h) No paid solicitor may represent that tickets to an event are to be donated for use by another, unless the paid solicitor has first obtained a commitment, in writing, from a charitable organization stating that it

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- (i) A paid solicitor shall require any person such solicitor directly or indirectly employs, procures or engages to solicit to comply with the provisions of subsections (e) to (h), inclusive, of this section.
- (j) A paid solicitor shall file a financial report for the campaign with the department no more than ninety days after a solicitation campaign has been completed, and on the anniversary of the commencement of any solicitation campaign which lasts more than one year, in a form prescribed by the commissioner. The financial report shall include gross revenue and an itemization of all expenditures incurred. The report shall be completed on a form prescribed by the department. An authorized official of the paid solicitor and two authorized officials of the charitable organization shall certify that such report is true and complete to the best of their knowledge. The information contained in such report shall be available to the public.
- (k) A paid solicitor shall maintain during each solicitation campaign and for not less than three years after the completion of each such campaign the following records, which shall be available to the department for inspection upon request: (1) The name and address of each contributor and the date and amount of the contribution, provided the department shall not disclose this information except to the extent necessary for investigative or law enforcement purposes; (2) the name and residence of each employee, agent or other person involved in the solicitation; and (3) records of all income received and expenses incurred in the course of the solicitation campaign.
- (l) If a paid solicitor sells tickets to an event and represents that tickets will be donated for use by another, the paid solicitor shall maintain, for not less than three years after the completion of such event, the following records, which shall be available to the department for inspection upon request: (1) The name and address of contributors

- donating tickets and the number of tickets donated by each contributor; 623
- 624 and (2) the name and address of all organizations receiving donated
- 625 tickets for use by others, including the number of tickets received by
- 626 each organization.

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- 627 (m) All funds collected by the paid solicitor shall be deposited in a 628 bank account. The bank account shall be in the name of the charitable 629 organization with whom the paid solicitor has contracted and the 630 charitable organization shall have sole or joint control of the account.
- 631 (n) Any material change in any information filed with the department 632 pursuant to this section shall be reported in writing or electronically by 633 the paid solicitor to the department not more than seven days after such 634 change occurs.
  - (o) No person may act as a paid solicitor if such person, any officer or director thereof, any person with a controlling interest therein, or any person the paid solicitor employs, engages or procures to solicit for compensation, has been convicted by a court of any state or the United States of any felony, or of any misdemeanor involving dishonesty or arising from the conduct of a solicitation for a charitable organization or purpose. Any denial, suspension or revocation of the registration of a paid solicitor based on a violation of this subsection shall be made in accordance with the provisions of section 46a-80.
- 644 Sec. 15. Section 21a-190l of the general statutes is repealed and the 645 following is substituted in lieu thereof (*Effective from passage*):
  - (a) The commissioner may deny, suspend or revoke the registration of any charitable organization, fund-raising counsel or paid solicitor which has violated any provision of sections 21a-190a to 21a-190l, inclusive, as amended by this act. [The commissioner may accept a written assurance of compliance when said commissioner determines that a violation of said sections is such that the public interest would not be served by a denial, suspension or revocation of such registration.]
- 653 (b) The Attorney General, at the request of the commissioner, may

- 655 injunction or a permanent injunction to restrain violations of sections
- 21a-190a to 21a-190*l*, inclusive, <u>as amended by this act</u>, the appointment
- of a receiver, an order of restitution, an accounting and such other relief
- as may be appropriate to ensure the due application of charitable funds.
- Proceedings thereon shall be brought in the name of the state.
- (c) Any person who knowingly violates any provision of sections 21a 190a to 21a-190l, inclusive, <u>as amended by this act</u>, shall be fined not
   more than five thousand dollars or imprisoned not more than one year,
- or both.
- 664 (d) In any action brought under subsection (b) of this section, if the 665 court finds that a person has [wilfully] willfully engaged in conduct 666 prohibited by section 21a-190h, the Attorney General, upon petition to 667 the court, may recover, on behalf of the state, a civil penalty of not more 668 than two thousand five hundred dollars for each violation. For purposes 669 of this subsection, a [wilful] willful violation occurs when the party 670 committing the violation knew or should have known that such conduct 671 was prohibited by section 21a-190h.
- Sec. 16. Section 43-8a of the general statutes is repealed and the following is substituted in lieu thereof (*Effective from passage*):
- The Commissioner of Weights and Measures shall adopt regulations, in accordance with chapter 54, [incorporating, by reference, the
- voluntary version of the Uniform Open Dating Regulation, as adopted
- and as amended from time to time, by the National Conference on
- 678 Weights and Measures and published in the National Institute of
- 679 Standards and Technology Handbook 130, or subsequent
- 680 corresponding handbook of the United States Department of
- 681 Commerce] to prescribe uniform date labeling for foods. Dairy foods
- required to be marked with a last sale date pursuant to section 22-197b
- shall be exempt from the provisions of this section.
- Sec. 17. Section 21a-2 of the general statutes is repealed and the
- 685 following is substituted in lieu thereof (*Effective from passage*):

- (a) A toll-free telephone line, available to consumers throughout the state, shall be established in the Department of Consumer Protection for the handling of consumer inquiries and complaints concerning consumer goods or services in the state or any other matter within the jurisdiction of the department and its licensing and regulatory boards. The line shall be in operation from 8:30 a.m. to 4:30 p.m. Monday through Friday each week, exclusive of those legal holidays on which state offices are closed, and shall be restricted to incoming calls.
- (b) The Department of Consumer Protection shall process the intake of consumer complaints concerning consumer goods or services in the state and any other matter within the jurisdiction of the department. In order to assist in the resolution of consumer complaints, the department may notify, in writing, the respondent against whom a complaint was received of the allegations against them and require a written response be provided to the department not later than thirty days of receipt of such notice.
- (c) For purposes of this section, "credential holder" means a person certified, licensed, permitted or registered with the Department of Consumer Protection. In the event the department provides written notice to a respondent who is not a credential holder that a complaint has been filed against him or her, and said respondent fails to respond after receipt of such notice, the respondent may be fined not more than two hundred fifty dollars for failure to respond to the department. Written notice for purposes of this section shall include notice sent by registered or certified mail or hand-delivered to a respondent.
- (d) All notices of administrative enforcement actions, including compliance meetings and hearings, shall be in writing and shall comply with the provisions of subsections (a) and (b) of section 4-177 and subsection (c) of section 4-182, if applicable. A notice of administrative enforcement action shall be delivered to all designated parties and intervenors who are not credential holders, or their authorized representative: (1) Personally, (2) by United States mail, with delivery tracking or via certified mail, or (3) via electronic mail with tracking and

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- 719 delivery confirmation. Delivery of administrative enforcement action
- 720 notices shall be deemed effective notice if delivered or sent to a
- 721 credential holder's last known address or electronic mail address of
- 722 record on file with the department. If the party is not a credential holder,
- 723 service shall be deemed sufficient, provided the department has made
- 724 reasonable efforts to effectuate notice, including, but not limited to,
- 725 verifying the mailing address with the Secretary of the State or the
- 726 Department of Motor Vehicles.
- 727 Sec. 18. Subsection (a) of section 21a-7 of the general statutes is
- 728 repealed and the following is substituted in lieu thereof (Effective from
- 729 passage):
- 730 (a) Each board or commission within the Department of Consumer
- 731 Protection under section 21a-6 shall have the following powers and
- 732 duties:
- 733 (1) Each board or commission shall exercise its statutory functions,
- 734 including licensing, certification, registration, accreditation of schools
- 735 and the rendering of findings, orders and adjudications. With the
- 736 exception of the Liquor Control Commission, any exercise of such
- 737 functions by such a board or commission that is adverse to a party shall
- 738 be a proposed decision and subject to approval, modification or
- 739 rejection by the commissioner.
- 740 (2) Each board or commission may, in its discretion, issue (A) an
- 741 appropriate order to any person found to be violating an applicable
- 742 statute or regulation providing for the immediate discontinuance of the
- 743 violation, (B) an order requiring the violator to make restitution for any
- 744 damage caused by the violation, or (C) both. Each board or commission
- 745 may, through the Attorney General, petition the superior court for the
- 746 judicial district wherein the violation occurred, or wherein the person
- 747 committing the violation resides or transacts business, for the
- 748 enforcement of any order issued by it and for appropriate temporary
- 749 relief or a restraining order and shall certify and file in the court a
- 750 transcript of the entire record of the hearing or hearings, including all
- 751 testimony upon which such order was made and the findings and

- (3) Each board or commission may conduct hearings on any matter within its statutory jurisdiction. Such hearings shall be conducted in accordance with chapter 54 and the regulations established pursuant to subsection (a) of section 21a-9. In connection with any such hearing, the board or commission may administer oaths, issue subpoenas, compel testimony and order the production of books, records and documents. If any person refuses to appear, testify or produce any book, record or document when so ordered, a judge of the Superior Court may make such order as may be appropriate to aid in the enforcement of this section.
- (4) Each board or commission may request the Commissioner of Consumer Protection to conduct an investigation and to make findings and recommendations regarding any matter within the statutory jurisdiction of the board or commission.
- (5) Each board or commission may recommend rules and regulations for adoption by the Commissioner of Consumer Protection and may review and comment upon proposed rules and regulations prior to their adoption by said commissioner.
- (6) Each board or commission shall meet at least once in each quarter of a calendar year and at such other times as the chairperson or the Commissioner of Consumer Protection deems necessary. A majority of the members shall constitute a quorum, except that for any examining board, forty per cent of the members shall constitute a quorum. Any member who fails to attend three consecutive meetings or who fails to attend fifty per cent of all meetings during any calendar year shall be deemed to have resigned from office. Members of boards or commissions shall not serve for more than two consecutive full terms which commence on or after July 1, 1982, except that if no successor has

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been appointed or approved, such member shall continue to serve until a successor is appointed or approved. Members shall not be compensated for their services but shall be reimbursed for necessary expenses incurred in the performance of their duties.

- (7) In addition to any other action permitted under the general statutes, each board or commission may, upon a finding of any cause specified in subsection (c) of section 21a-9: (A) Revoke, place conditions upon or suspend a license, registration or certificate; (B) issue a letter of reprimand to a practitioner and send a copy of such letter to a complainant or to a state or local official; (C) place a practitioner on probationary status and require the practitioner to (i) report regularly to the department, board or commission on the matter which is the basis for probation, (ii) limit the practitioner's practice to areas prescribed by the board or commission, or (iii) continue or renew the practitioner's education until the practitioner has attained a satisfactory level of competence in any area which is the basis for probation; or (D) impose a fine not to exceed one thousand dollars per violation. Each board or commission may discontinue, suspend or rescind any action taken under this subsection.
- (8) Each examining board within the Department of Consumer Protection or the Commissioner of Consumer Protection shall conduct any hearing or other action required for an application submitted pursuant to section 20-333 and any completed renewal application submitted pursuant to section 20-335 not later than (A) thirty days after the date of submission for such application or completed renewal application, as applicable, or (B) a period of time deemed appropriate by the Commissioner of Consumer Protection, but not to exceed sixty days after such date of submission.
- Sec. 19. Subsection (c) of section 21a-8 of the 2020 supplement to the general statutes is repealed and the following is substituted in lieu thereof (*Effective from passage*):
  - (c) The Commissioner of Consumer Protection shall have the following powers and duties with regard to each board or commission

within the Department of Consumer Protection under section 21a-6:

- (1) The commissioner shall, in consultation with each board or commission, exercise the functions of licensing, certification, registration, accreditation of schools and the rendering of findings, orders and adjudications.
- (2) The commissioner may, in the commissioner's discretion, issue an appropriate order to any person found to be violating any statute or regulation within the jurisdiction of such board or commission providing for the immediate discontinuance of the violation or requiring the violator to make restitution for any damage caused by the violation, or both. The commissioner may, through the Attorney General, petition the superior court for the judicial district in which the violation occurred, or in which the person committing the violation resides or transacts business, for the enforcement of any order issued by the commissioner under this subdivision and for appropriate temporary relief or a restraining order. The commissioner shall certify and file in the court a transcript of the entire record of the hearing or hearings, including all testimony upon which such order was made and the findings and orders made by the commissioner. The court may grant such relief by injunction or otherwise, including temporary relief, as the court deems equitable and may make and enter a decree enforcing, modifying and enforcing as so modified, or setting aside, in whole or in part, any order of the commissioner issued under this subdivision.
- (3) The commissioner may conduct hearings on any matter within the statutory jurisdiction of such board or commission. Such hearings shall be conducted in accordance with chapter 54 and the regulations adopted pursuant to subsection (a) of section 21a-9. In connection with any such hearing, the commissioner may administer oaths, issue subpoenas, compel testimony and order the production of books, records and documents. If any person refuses to appear, testify or produce any book, record or document when so ordered, a judge of the Superior Court may make such order as may be appropriate to aid in the enforcement of this subdivision.

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- Sec. 20. Section 21a-10 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective October 1, 2020*):
- (a) The Commissioner of Consumer Protection may establish, combine or abolish divisions, sections or other units within the Department of Consumer Protection and allocate powers, duties and functions among such units, but no function vested by statute in any officer, division, board, agency or other unit within the department shall be removed from the jurisdiction of such officer, division, board, agency or other unit under the provisions of this section.
- (b) The Commissioner of Consumer Protection shall adopt regulations, in accordance with chapter 54, to designate a staggered schedule for the renewal of all licenses, certificates, registrations and permits issued by said department. If such designation of a staggered schedule results in the expiration of any license, certificate, registration or permit for a period of less than or more than one year, said

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- (c) For any Department of Consumer Protection license, certificate, registration or permit that requires the credential holder to complete continuing education requirements, the continuing education requirements shall be completed within the annual or biannual period that begins and ends three months prior to the renewal date for the applicable credential, except for licenses issued pursuant to chapter 400j.
- 896 Sec. 21. Subsection (c) of section 21a-11 of the general statutes is 897 repealed and the following is substituted in lieu thereof (Effective from 898 passage):
  - (c) The commissioner may, subject to the provisions of chapter 54, revoke, suspend, [or] place conditions upon, deny or impose a fine of not greater than one thousand dollars per violation with regard to any license or registration issued by the department in the event that such licensee or registrant, including, but not limited to, an owner of any business entity holding such license or registration, owes moneys to any guaranty fund or account maintained or used by the department, including, but not limited to, the Home Improvement Guaranty Fund established pursuant to section 20-432, the New Home Construction Guaranty Fund established pursuant to section 20-417i, the Connecticut Health Club Guaranty Fund established pursuant to section 21a-226, the Real Estate Guaranty Fund established pursuant to section 20-324a and the privacy protection guaranty and enforcement account established pursuant to section 42-472a.
- 913 Sec. 22. Subsection (b) of section 51-164n of the 2020 supplement to 914 the general statutes is repealed and the following is substituted in lieu 915 thereof (*Effective from passage*):

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916 (b) Notwithstanding any provision of the general statutes, any person 917 who is alleged to have committed (1) a violation under the provisions of 918 section 1-9, 1-10, 1-11, 4b-13, 7-13, 7-14, 7-35, 7-41, 7-83, 7-283, 7-325, 7-919 393, 8-12, 8-25, 8-27, 9-63, 9-322, 9-350, 10-193, 10-197, 10-198, 10-230, 10-920 251, 10-254, 12-52, 12-170aa, 12-292, 12-314b or 12-326g, subdivision (4) 921 of section 12-408, subdivision (3), (5) or (6) of section 12-411, section 12-922 435c, 12-476a, 12-476b, 12-487, 13a-71, 13a-107, 13a-113, 13a-114, 13a-115, 923 13a-117b, 13a-123, 13a-124, 13a-139, 13a-140, 13a-143b, 13a-247 or 13a-924 253, subsection (f) of section 13b-42, section 13b-90, 13b-221, 13b-292, 925 13b-336, 13b-337, 13b-338, 13b-410a, 13b-410b or 13b-410c, subsection 926 (a), (b) or (c) of section 13b-412, section 13b-414, subsection (d) of section 927 14-12, section 14-20a or 14-27a, subsection (f) of section 14-34a, 928 subsection (d) of section 14-35, section 14-43, 14-49, 14-50a or 14-58, 929 subsection (b) of section 14-66, section 14-66a or 14-67a, subsection (g) 930 of section 14-80, subsection (f) of section 14-80h, section 14-97a, 14-100b, 931 14-103a, 14-106a, 14-106c, 14-146, 14-152, 14-153 or 14-163b, a first 932 violation as specified in subsection (f) of section 14-164i, section 14-219 933 as specified in subsection (e) of said section, subdivision (1) of section 934 14-223a, section 14-240, 14-250 or 14-253a, subsection (a) of section 14-935 261a, section 14-262, 14-264, 14-267a, 14-269, 14-270, 14-275a, 14-278 or 936 14-279, subsection (e) or (h) of section 14-283, section 14-291, 14-293b, 14-937 296aa, 14-300, 14-300d, 14-319, 14-320, 14-321, 14-325a, 14-326, 14-330 or 938 14-332a, subdivision (1), (2) or (3) of section 14-386a, section 15-25 or 15-939 33, subdivision (1) of section 15-97, subsection (a) of section 15-115, 940 section 16-44, 16-256e, 16a-15 or 16a-22, subsection (a) or (b) of section 941 16a-22h, section 17a-24, 17a-145, 17a-149, 17a-152, 17a-465, 17b-124, 17b-942 131, 17b-137, 19a-30, 19a-33, 19a-39 or 19a-87, subsection (b) of section 943 19a-87a, section 19a-91, 19a-105, 19a-107, 19a-113, 19a-215, 19a-219, 19a-944 222, 19a-224, 19a-286, 19a-287, 19a-297, 19a-301, 19a-309, 19a-335, 19a-945 336, 19a-338, 19a-339, 19a-340, 19a-425, 19a-502, 20-7a, 20-14, 20-158, 20-946 231, 20-249, 20-257, 20-265, 20-324e, subsection (b) of section 20-334, 20-947 3411, 20-366, 20-597, 20-608, 20-610, 21-1, 21-38, 21-39, 21-43, 21-47, 21-48, 948 21-63 or 21-76a, subsection (c) of section 21a-2, as amended by this act, 949 subdivision (1) of section 21a-19, section 21a-21, subdivision (1) of 950 subsection (b) of section 21a-25, section 21a-26 or 21a-30, subsection (a)

951 of section 21a-37, section 21a-46, 21a-61, 21a-63 or 21a-77, subsection (b) 952 of section 21a-79, section 21a-85 or 21a-154, subdivision (1) of subsection 953 (a) of section 21a-159, subsection (a) of section 21a-279a, section 22-12b, 954 22-13, 22-14, 22-15, 22-16, 22-26g, 22-29, 22-34, 22-35, 22-36, 22-38, 22-39, 955 22-39a, 22-39b, 22-39c, 22-39d, 22-39e, 22-49 or 22-54, subsection (f) of section 22-61m, subsection (d) of section 22-84, section 22-89, 22-90, 22-956 957 98, 22-99, 22-100, 22-1110, 22-167, 22-279, 22-280a, 22-318a, 22-320h, 22-958 324a, 22-326 or 22-342, subsection (b), (e) or (f) of section 22-344, section 959 22-359, 22-366, 22-391, 22-413, 22-414, 22-415, 22a-66a or 22a-246, 960 subsection (a) of section 22a-250, subsection (e) of section 22a-256h, 961 section 22a-363 or 22a-381d, subsections (c) and (d) of section 22a-381e, section 22a-449, 22a-461, 23-38, 23-46 or 23-61b, subsection (a) or 962 963 subdivision (1) of subsection (c) of section 23-65, section 25-37 or 25-40, subsection (a) of section 25-43, section 25-43d, 25-135, 26-18, 26-19, 26-964 965 21, 26-31, 26-40, 26-40a, 26-42, 26-49, 26-54, 26-55, 26-56, 26-58 or 26-59, subdivision (1) of subsection (d) of section 26-61, section 26-64, 966 967 subdivision (1) of section 26-76, section 26-79, 26-87, 26-89, 26-91, 26-94, 968 26-97, 26-98, 26-104, 26-105, 26-107, 26-117, 26-128, 26-131, 26-132, 26-138 969 or 26-141, subdivision (1) of section 26-186, section 26-207, 26-215, 26-970 217 or 26-224a, subdivision (1) of section 26-226, section 26-227, 26-230, 971 26-232, 26-244, 26-257a, 26-260, 26-276, 26-284, 26-285, 26-286, 26-288, 26-972 294, 28-13, 29-6a, 29-25, 29-143o, 29-143z or 29-156a, subsection (b), (d), 973 (e) or (g) of section 29-161q, section 29-161v or 29-161z, subdivision (1) 974 of section 29-198, section 29-210, 29-243 or 29-277, subsection (c) of 975 section 29-291c, section 29-316, 29-318, 29-381, 30-48a, 30-86a, 31-3, 31-976 10, 31-11, 31-12, 31-13, 31-14, 31-15, 31-16, 31-18, 31-23, 31-24, 31-25, 31-977 32, 31-36, 31-38, 31-40, 31-44, 31-47, 31-48, 31-51, 31-52, 31-52a or 31-54, 978 subsection (a) or (c) of section 31-69, section 31-70, 31-74, 31-75, 31-76, 979 31-76a, 31-89b or 31-134, subsection (i) of section 31-273, section 31-288, 980 subdivision (1) of section 35-20, section 36a-787, 42-230, 45a-283, 45a-981 450, 45a-634 or 45a-658, subdivision (13) or (14) of section 46a-54, section 982 46a-59, 46b-22, 46b-24, 46b-34, 47-34a, 47-47, 49-8a, 49-16, 53-133, 53-199, 983 53-212a, 53-249a, 53-252, 53-264, 53-280, 53-302a, 53-303e, 53-311a, 53-984 321, 53-322, 53-323, 53-331 or 53-344, subsection (c) of section 53-344b, or 985 section 53-450, or (2) a violation under the provisions of chapter 268, or

- Sec. 23. Section 20-672 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective from passage*):
- 996 (a) Any person seeking a certificate of registration as a homemaker-997 companion agency shall apply to the Commissioner of Consumer 998 Protection, in writing, on a form provided by the commissioner. The 999 application shall include the applicant's name, residence address, 1000 business address, business telephone number and such other 1001 information as the commissioner may require. An applicant shall also 1002 be required to submit to state and national criminal history records 1003 checks in accordance with section 29-17a and to certify under oath to the 1004 commissioner that: (1) Such agency complies with the requirements of 1005 section 20-678, as amended by this act, concerning employee 1006 comprehensive background checks, (2) such agency provides all 1007 persons receiving homemaker or companion services with a written 1008 individualized contract or service plan that specifically identifies the 1009 anticipated scope, type, frequency and duration of homemaker or 1010 companion services provided by the agency to the person, (3) such 1011 agency maintains a surety bond or an insurance policy in an amount of 1012 not less than ten thousand dollars coverage, which coverage shall 1013 include theft by an employee of such agency from a person for whom 1014 homemaker or companion services are provided by the agency, and (4) 1015 all records maintained by such agency shall be open, at all reasonable 1016 hours, for inspection, copying or audit by the commissioner.
- 1017 (b) Each application for a certificate of registration as a homemaker-1018 companion agency shall be accompanied by a fee of three [seventy-five]

1019 hundred <u>seventy-five</u> dollars.

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- 1020 (c) Upon the failure by a homemaker-companion agency to comply 1021 with the registration provisions of this section, the Attorney General, at 1022 the request of the Commissioner of Consumer Protection, is authorized 1023 to apply in the name of the state of Connecticut to the Superior Court 1024 for an order temporarily or permanently restraining and enjoining a 1025 homemaker-companion agency from continuing to do business in the 1026 state.
- 1027 Sec. 24. Section 20-677 of the general statutes is repealed and the 1028 following is substituted in lieu thereof (*Effective from passage*):
  - (a) Each person obtaining a homemaker-companion agency certificate of registration shall: (1) Exhibit the agency's certificate of registration upon request by any interested party, (2) state in any advertisement the fact that the agency is registered, and (3) include the agency's registration number in any advertisement.
  - (b) No person shall: (1) Present or attempt to present, as such person's own, the certificate of another, (2) knowingly give false evidence of a material nature to the Commissioner of Consumer Protection for the purpose of procuring a certificate, (3) represent himself or herself falsely as, or impersonate, a registered homemaker-companion agency, (4) use or attempt to use a certificate which has expired or which has been suspended or revoked, (5) offer or provide homemaker or companion services without having a current certificate of registration under the provisions of sections 20-670 to 20-680, inclusive, or (6) represent in any manner that such person's registration constitutes an endorsement by the commissioner of the quality of services provided by such person.
  - (c) In addition to any other remedy provided for in sections 20-670 to 20-676, inclusive, any person who violates any provision of subsection (b) of this section shall be fined not more than one thousand dollars or imprisoned not more than six months, or both.
  - (d) Certificates issued to a homemaker-companion agency shall not

1050 be transferable or assignable.

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- (e) All certificates issued under the provisions of sections 20-670 to 20-680, inclusive, shall expire annually. The fee for renewal of a certificate shall be the same as the fee charged for an original application pursuant to section 20-672, as amended by this act. Fees collected pursuant to the issuance of a certificate or renewal of a certificate shall be deposited in the General Fund.
- (f) Failure to receive a notice of expiration of registration or a renewal application shall not exempt a homemaker-companion agency from the obligation to renew.
- 1060 (g) (1) On or after July 1, 2020, no homemaker-companion agency applying for a new registration shall include in its business name any 1062 words that indicate or suggest that such agency provides any services 1063 beyond the scope of what is allowed pursuant to this chapter, including, but not limited to, words relating to medical or health care licensure or services, and (2) no homemaker-companion agency shall include in its advertising any words that indicate or suggest that such agency provides any services beyond the scope of what is allowed in this chapter including, but not limited to, words relating to medical or health 1069 care licensure or services.
  - Sec. 25. (NEW) (Effective from passage) (a) No person, other than an immediate family member, who has an ownership interest in or who is a corporate officer of a homemaker-companion agency, or any employee or agent thereof, shall act as an agent under a power of attorney for any person contracted with such agency to receive homemaker or companion services. For purposes of this subsection, "immediate family member" means a parent, sibling, child by blood, adoption or marriage, spouse, grandparent or grandchild.
  - (b) A person receiving homemaker or companion services may petition the Commissioner of Consumer Protection for an exception to the prohibition provided in subsection (a) of this section, which petition may be granted by the commissioner for good cause.

Sec. 26. Section 20-330 of the 2020 supplement to the general statutes is repealed and the following is substituted in lieu thereof (*Effective from passage*):

## As used in this chapter:

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- (1) "Contractor" means any person regularly offering to the general public services of such person or such person's employees in the field of electrical work, plumbing and piping work, solar work, heating, piping, cooling and sheet metal work, fire protection sprinkler systems work, elevator installation, repair and maintenance work, irrigation work, automotive glass work or flat glass work, as defined in this section;
- (2) "Electrical work" means the installation, erection, maintenance, inspection, testing, alteration or repair of any wire, cable, conduit, busway, raceway, support, insulator, conductor, appliance, apparatus, fixture or equipment that generates, transforms, transmits or uses electrical energy for light, heat, power or other purposes, but does not include low voltage wiring, not exceeding twenty-four volts, used within a lawn sprinkler system;
- (3) "Plumbing and piping work" means the installation, repair, replacement, alteration, maintenance, inspection or testing of gas, water and associated fixtures, tubing and piping mains and branch lines up to and including the closest valve to a machine or equipment used in the manufacturing process, laboratory equipment, sanitary equipment, other than subsurface sewage disposal systems, fire prevention apparatus, all water systems for human usage, sewage treatment facilities and all associated fittings within a building and includes lateral storm and sanitary lines from buildings to the mains, process piping, swimming pools and pumping equipment, and includes making connections to back flow prevention devices, and includes low voltage wiring, not exceeding twenty-four volts, used within a lawn sprinkler system, but does not include (A) solar thermal work performed pursuant to a certificate held as provided in section 20-334g, except for the repair of those portions of a solar hot water heating system that include the basic domestic hot water tank and the tie-in to the potable

water system, (B) the installation, repair, replacement, alteration, maintenance, inspection or testing of fire prevention apparatus within a structure, except for standpipes that are not connected to sprinkler systems, (C) medical gas and vacuum systems work, and (D) millwright work. For the purposes of this subdivision, "process piping" means piping or tubing that conveys liquid or gas that is used directly in the production of a chemical or a product for human consumption;

- (4) "Solar thermal work" means the installation, erection, repair, replacement, alteration, maintenance, inspection or testing of active, passive and hybrid solar systems that directly convert ambient energy into heat or convey, store or distribute such ambient energy;
- (5) "Heating, piping and cooling work" means (A) the installation, repair, replacement, maintenance, inspection, testing or alteration of any apparatus for piping, appliances, devices or accessories for heating systems, including sheet metal work, (B) the installation, repair, replacement, maintenance, inspection, testing or alteration of air conditioning and refrigeration systems, boilers, including apparatus and piping for the generation or conveyance of steam and associated pumping equipment and process piping and the installation of tubing and piping mains and branch lines up to and including the closest valve to a machine or equipment used in the manufacturing process and onsite testing and balancing of hydronic, steam and combustion air, but excluding millwright work, and (C) on-site operation, by manipulating, adjusting or controlling, with sufficient technical knowledge, as determined by the commissioner, (i) heating systems with a steam or water boiler maximum operating pressure of fifteen pounds per square inch gauge or greater, or (ii) air conditioning or refrigeration systems with an aggregate of more than fifty horsepower or kilowatt equivalency of fifty horsepower or of two hundred pounds of refrigerant. Heating, piping and cooling work does not include solar thermal work performed pursuant to a certificate held as provided in section 20-334g, or medical gas and vacuum systems work or the passive monitoring of heating, air conditioning or refrigeration systems. For the purposes of this subdivision, "process piping" means piping or tubing

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- that conveys liquid or gas that is used directly in the production of a chemical or a product for human consumption;
- 1151 (6) "Apprentice" means any person registered with the Labor 1152 Department for the purpose of learning a skilled trade;
- 1153 (7) "Elevator installation, repair and maintenance work" means the 1154 installation, erection, maintenance, inspection, testing and repair of all 1155 types of elevators, dumb waiters, escalators, and moving walks and all 1156 mechanical equipment, fittings, associated piping and wiring from a 1157 source of supply brought to the equipment room by an unlimited electrical contractor for all types of machines used to hoist or convey 1158 1159 persons or materials, but does not include temporary hoisting machines 1160 used for hoisting materials in connection with any construction job or 1161 project, provided "elevator inspection" includes the visual examination 1162 of an elevator system or portion of a system, with or without the 1163 disassembly or removal of component parts;
  - (8) "Elevator maintenance" means the lubrication, inspection, testing and replacement of controls, hoistway and car parts;
  - (9) "Fire protection sprinkler systems work" means the layout, on-site fabrication, installation, alteration, maintenance, inspection, testing or repair of any automatic or manual sprinkler system designed for the protection of the interior or exterior of a building or structure from fire, or any piping or tubing and appurtenances and equipment pertaining to such system including overhead and underground water mains, fire hydrants and hydrant mains, standpipes and hose connections to sprinkler systems, sprinkler tank heaters excluding electrical wiring, air lines and thermal systems used in connection with sprinkler and alarm systems connected thereto, foam extinguishing systems or special hazard systems including water spray, foam, carbon dioxide or dry chemical systems, halon and other liquid or gas fire suppression systems, but does not include (A) any engineering design work connected with the layout of fire protection sprinkler systems, or (B) any work performed by employees of or contractors hired by a public water system, as defined in subsection (a) of section 25-33d;

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- 1182 (10) "State Fire Marshal" means the State Fire Marshal appointed by 1183 the Commissioner of Administrative Services;
- 1184 (11) "Journeyman sprinkler fitter" means a specialized pipe fitter 1185 craftsman, experienced and skilled in the installation, alteration, 1186 maintenance and repair of fire protection sprinkler systems;
- (12) "Irrigation work" means making the connections to and the 1187 1188 inspection and testing of back flow prevention devices, and low voltage 1189 wiring, not exceeding twenty-four volts, used within a lawn sprinkler 1190 system;
- 1191 (13) "Sheet metal work" means the onsite layout, installation, erection, 1192 replacement, repair or alteration, including, but not limited to, onsite 1193 testing and balancing of related life safety components, environmental 1194 air, heating, ventilating and air conditioning systems by manipulating, 1195 adjusting or controlling such systems for optimum balance performance 1196 of any duct work system, ferrous, nonferrous or other material for 1197 ductwork systems, components, devices, air louvers or accessories, in 1198 accordance with the State Building Code;
- 1199 (14) "Journeyman sheet metal worker" means an experienced 1200 craftsman skilled in the installation, erection, replacement, repair or alteration of duct work systems, both ferrous and nonferrous;
- 1202 (15) "Automotive glass work" means installing, maintaining or 1203 repairing fixed glass in motor vehicles;
- 1204 (16) "Flat glass work" means installing, maintaining or repairing glass 1205 in residential or commercial structures;
  - (17) "Medical gas and vacuum systems work" means the work and practice, materials, instrumentation and fixtures used in the construction, installation, alteration, extension, removal, repair, maintenance, inspection, testing or renovation of gas and vacuum systems and equipment used solely to transport gases for medical purposes and to remove liquids, air-gases or solids from such systems;

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- 1212 (18) "Solar electricity work" means the installation, erection, repair, 1213 replacement, alteration, maintenance, inspection and testing of 1214 photovoltaic or wind generation equipment used to distribute or store 1215 ambient energy for heat, light, power or other purposes to a point 1216 immediately inside any structure or adjacent to an end use;
- 1217 (19) "Active solar system" means a system that uses an external source 1218 of energy to power a motor-driven fan or pump to force the circulation 1219 of a fluid through solar heat collectors and which removes the sun's heat 1220 from the collectors and transports such heat to a location where it may 1221 be used or stored;
  - (20) "Passive solar system" means a system that is capable of collecting or storing the sun's energy as heat without the use of a motordriven fan or pump;
- 1225 (21) "Hybrid solar system" means a system that contains components 1226 of both an active solar system and a passive solar system;
  - (22) "Gas hearth product work" means the installation, service, inspection, testing or repair of a propane or natural gas fired fireplace, fireplace insert, stove or log set and associated venting and piping that simulates a flame of a solid fuel fire. "Gas hearth product work" does not include (A) fuel piping work, (B) the servicing of fuel piping, or (C) work associated with pressure regulating devices, except for appliances gas valves;
    - (23) "Millwright work" means the installation, repair, replacement, maintenance or alteration, including the inspection and testing, of (A) power generation machinery, or (B) industrial machinery, including the related interconnection of piping and tubing used in the manufacturing process, but does not include the performance of any action for which licensure is required under this chapter;
    - (24) "Inspection" means the examination of a system or portion of a system, involving the disassembly or removal of component parts of the system; [and]

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- 1243 (25) "Testing" means to determine the status of a system as intended 1244 for its use, with or without the disassembly of component parts of the 1245 system, by the use of testing and measurement instruments; [.]
- 1246 (26) "Owner" means a person who owns or resides in a private
  1247 residence and includes any agent thereof, including, but not limited to,
  1248 a condominium association. An owner of a private residence shall not
  1249 be required to reside in such residence to be deemed an owner under
  1250 this subdivision;
- 1251 (27) "Person" means an individual, partnership, limited liability
  1252 company or corporation; and
  - (28) "Residential property" means a single family dwelling, a multifamily dwelling consisting of not more than six units, or a unit, common element or limited common element in a condominium, as defined in section 47-68a, or in a common interest community, as defined in section 47-202, or any number of condominium units for which a condominium association acts as an agent for such unit owners.
    - Sec. 27. (NEW) (Effective January 1, 2021) (a) No contract to perform work on a private residence, as defined in section 20-419 of the general statutes, by a contractor licensed pursuant to chapter 393 of the general statutes and any person who owns or controls a business engaged to provide the work or services licensed under the provisions of said chapter by persons licensed for such work shall be valid or enforceable against an owner as defined in section 20-419 of the general statutes unless it: (1) Is in writing; (2) is signed by the owner and the contractor or business; (3) contains the entire agreement between the owner and the contractor or business; (4) contains the date of the transaction; (5) contains the name and address of the contractor and the contractor's license number or, in the case of a business, the name of the business owner, partner or limited liability member, and the phone number, and address of the business, partnership or limited liability company; (6) contains the name and license number of the licensees performing the work, provided the name and license number of the licensees may be amended in writing during the contract; (7) contains a notice of the

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- 740 of the general statutes; and (8) contains a starting date and 1277
- 1278 completion date.

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- 1279 (b) Each change in the terms and conditions of a contract specified in 1280 subsection (a) of this section shall be in writing and shall be signed by 1281 the owner and contractor or business, except that the commissioner 1282 may, by regulations adopted pursuant to chapter 54 of the general 1283 statutes, dispense with the necessity for complying with such
- 1285 Sec. 28. Subsection (a) of section 20-306 of the general statutes is 1286 repealed and the following is substituted in lieu thereof (Effective from 1287 passage):
- 1288 (a) (1) The Department of Consumer Protection shall notify each 1289 person licensed under this chapter of the date of the expiration of such 1290 license and the amount of the fee required for its renewal for one year. 1291 Such license renewals shall be accompanied by the payment of the 1292 professional services fee for class G, as defined in section 33-182l, in the 1293 case of a professional engineer license, a professional engineer and land 1294 surveyor combined license, or a land surveyor license. The license shall 1295 be considered lapsed if not renewed [within thirty days following the 1296 normal] on or before the expiration date.
  - (2) Annual renewal of an engineer-in-training license or a surveyorin-training license shall not be required. Any such license shall remain valid for a period of ten years from the date of its original issuance and, during this time, it shall meet in part the requirements for licensure as a professional engineer or land surveyor. It shall not be the duty of the department to notify the holder of an engineer-in-training license or a surveyor-in-training license of the date of expiration of such license other than to publish it annually in the roster.
  - (3) Renewal of any license under this chapter or payment of renewal fees shall not be required of any licensee serving in the armed forces of the United States until the next renewal period immediately following

- 1308 the termination of such service or the renewal period following the fifth 1309
- year after such licensee's entry into such service, whichever occurs first.
- 1310 The status of such licensees shall be indicated in the annual roster of 1311 professional engineers and land surveyors.
- 1312 Sec. 29. Subsection (f) of section 20-314 of the general statutes is 1313 repealed and the following is substituted in lieu thereof (Effective from 1314 passage):
- 1315 (f) All licenses issued under the provisions of this chapter shall expire 1316 annually. At the time of application for a real estate broker's license, 1317 there shall be paid to the commission, for each individual applicant and 1318 for each proposed active member or officer of a firm, partnership, 1319 association or corporation, the sum of five hundred sixty-five dollars, 1320 and for the annual renewal thereof, the sum of three hundred seventy-1321 five dollars, [and] except that for licenses expiring on March 31, 2021, a 1322 prorated renewal fee shall be charged to reflect the fact that the March 1323 2021 renewal will expire on November 30, 2021. At the time of 1324 application for a real estate salesperson's license, there shall be paid to 1325 the commission two hundred eighty-five dollars and for the annual 1326 renewal thereof the sum of two hundred eighty-five dollars. Three 1327 dollars of each such annual renewal fee shall be payable to the Real 1328 Estate Guaranty Fund established pursuant to section 20-324a. [If a 1329 license is not issued, the fee shall be returned.] A real estate broker's 1330 license issued to any partnership, association or corporation shall entitle 1331 the individual designated in the application, as provided in section 20-1332 312, upon compliance with the terms of this chapter, but without the 1333 payment of any further fee, to perform all of the acts of a real estate 1334 broker under this chapter on behalf of such partnership, association or 1335 corporation. Any license which expires and is not renewed pursuant to 1336 this subsection may be reinstated by the commission, if, not later than 1337 two years after the date of expiration, the former licensee pays to the 1338 commission for each real estate broker's license the sum of three 1339 hundred seventy-five dollars and for each real estate salesperson's 1340 license the sum of two hundred eighty-five dollars for each year or 1341 fraction thereof from the date of expiration of the previous license to the

date of payment for reinstatement, except that any licensee whose 1342 1343 license expired after such licensee entered military service shall be 1344 reinstated without payment of any fee if an application for 1345 reinstatement is filed with the commission within two years after the 1346 date of expiration. Any such reinstated broker license shall expire on the 1347 next succeeding [March thirty-first for real estate brokers or] November 1348 thirtieth, except that any broker license that is reinstated before March 1349 31, 2021, shall expire on March 31, 2021. Any such reinstated real estate 1350 sales person license shall expire the next succeeding May thirty-first. [for 1351 real estate salespersons.]

Sec. 30. Subsection (b) of section 20-317 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective from passage*):

(b) Every applicant licensed in another state shall file an irrevocable consent that suits and actions may be commenced against such applicant in the proper court in any judicial district of the state in which a cause of action may arise or in which the plaintiff may reside, by the service of any process or pleading, authorized by the laws of this state, on the chairperson of the commission, such consent stipulating and agreeing that such service of such process or pleading shall be taken and held in all courts to be as valid and binding as if service had been made upon such applicant in the state of Connecticut. If any process or pleadings under this chapter are served upon the chairperson, it shall be by duplicate copies, one of which shall be filed in the office of the commission, and the other immediately forwarded by registered or certified mail, to the applicant against whom such process or pleadings are directed, at the last-known address of such applicant as shown by the records of the [commission] department. No default in any such proceedings or action shall be taken unless it appears by affidavit of the chairperson of the commission that a copy of the process or pleading was mailed to the defendant as required by this subsection, and no judgment by default shall be taken in any such action or proceeding within twenty days after the date of mailing of such process or pleading to the out-of-state defendant.

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Sec. 31. Subsection (b) of section 20-319 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective from passage*):

(b) There is hereby established an annual renewal license to be issued by the Department of Consumer Protection. Persons licensed in accordance with the provisions of this chapter shall fulfill a continuing education requirement. Applicants for an annual renewal license for real estate brokers or real estate salespersons shall, in addition to the other requirements imposed by the provisions of this chapter, in any even-numbered year, submit proof of compliance with the continuing education requirements of this subsection to the commission. [, accompanied by an eight-dollar Each licensee shall pay an annual fourdollar continuing education processing fee to cover costs associated with the review and auditing of continuing education submissions. The continuing education requirement may be satisfied by successful completion of any of the following during the two-year period preceding such renewal: (1) A course or courses, approved by the commission, of continuing education in current real estate practices and licensing laws, including, but not limited to, practices and laws concerning common interest communities, consisting of not less than twelve hours of classroom study; or (2) a written examination prepared and administered by either the Department of Consumer Protection, or by a national testing service approved by the department, which demonstrates a knowledge of current real estate practices and licensing laws; or (3) equivalent continuing educational experience or study as determined by regulations adopted pursuant to subsection (d) of this section. An applicant for examination under subdivision (2) of this subsection shall pay the required examination fee to the national testing service, if administered by such testing service, or to the Department of Consumer Protection, if administered by the department.

Sec. 32. Subsection (d) of section 20-427 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective from passage*):

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- (d) The commissioner may, after notice and hearing in accordance with the provisions of chapter 54, impose a civil penalty on any person who engages in or practices the work or occupation for which a certificate of registration is required by this chapter without having first obtained such a certificate of registration or who [wilfully] willfully employs or supplies for employment a person who does not have such a certificate of registration or who [wilfully] willfully and falsely pretends to qualify to engage in or practice such work or occupation, or who engages in or practices any of the work or occupations for which a certificate of registration is required by this chapter after the expiration of such person's certificate of registration or who violates any of the provisions of this chapter or the regulations adopted pursuant thereto. Such penalty shall be in an amount not more than five hundred dollars for a first violation of this subsection, not more than seven hundred fifty dollars for a second violation of this subsection occurring not more than three years after a prior violation, not more than one thousand five hundred dollars for a third or subsequent violation of this subsection occurring not more than three years after a prior violation and, in the case of radon mitigation work, such penalty shall be not less than two hundred fifty dollars. Any civil penalty collected pursuant to this subsection shall be deposited in the consumer protection enforcement account established in section 21a-8a.
- 1431 Sec. 33. Subsection (f) of section 20-427 of the general statutes is 1432 repealed and the following is substituted in lieu thereof (Effective from 1433 passage):
  - (f) All certificates issued under the provisions of this chapter shall expire annually on March thirty-first, except that certificates which expire on November 30, 2020, shall be renewed on November 30, 2020, and will expire on March 31, 2021. The fee for renewal of a certificate shall be the same as the fee charged for an original application, except that for certificates which expire on March 31, 2021, a prorated renewal fee shall be charged to reflect the portion of the year for which the certificate will be active.

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- Sec. 34. Subsection (d) of section 21-67 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective from passage*):
- (d) The department shall, upon receipt of a renewal application, accompanied by the annual license fee, [and after inspection of the mobile manufactured home park and determination that the park continues to conform with the requirements of this chapter,] issue a renewal license, unless the park fails to conform with the requirements of this chapter based on an inspection, which shall have been performed in the prior year.
- Sec. 35. Section 20-678 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective from passage*):

1454 On or after January 1, 2012, each homemaker-companion agency, 1455 prior to extending an offer of employment or entering into a contract with a prospective employee, shall require such prospective employee 1456 1457 to submit to a [comprehensive] state and national criminal background 1458 check conducted in accordance with section 29-17a. On or after October 1459 1, 2020, no homemaker-companion agency shall extend an offer of 1460 employment or enter into a contract with a prospective employee who, 1461 in the last five years, has been released from incarceration after being: 1462 (1) Convicted of a criminal offense related to the delivery of an item or 1463 service under any state health care program, as defined in 42 USC 1320a-7(h); (2) convicted, under federal or state law, of a criminal offense 1464 1465 relating to neglect or abuse of patients in connection with the delivery 1466 of a health care item or service; (3) convicted of a felony relating to fraud, 1467 theft, embezzlement, breach of fiduciary responsibility or other financial misconduct, in connection with the delivery of a health care item or 1468 1469 service or with respect to any act or omission in a health care program 1470 operated by or financed, in whole or in part, by any federal, state or local 1471 government agency; (4) convicted of a felony, under federal or state law, 1472 relating to the unlawful manufacture, distribution, prescription or 1473 dispensing of a controlled substance; or (5) the subject of a substantiated finding of neglect, abuse, physical harm or misappropriation of 1474

1475 property, the value of which exceeds two thousand dollars, by a state or 1476 federal agency. Notwithstanding the five-year look-back limitation, 1477 each homemaker-companion agency shall notify, in writing, all 1478 individuals receiving services of the agency's comprehensive 1479 background check policy and supporting state statute, as well as the 1480 individual's right to request and receive a copy of any materials 1481 obtained during the criminal background check. If, within the last five 1482 years, an applicant has been released from incarceration after being 1483 convicted of an offense enumerated in this section, the homemaker-1484 companion agency or the prospective employee may submit a written petition to the commissioner requesting a waiver based on the 1485 1486 circumstances of such offense, which may be granted in the sole 1487 discretion of the commissioner. In the event such a waiver is granted, 1488 the homemaker-companion agency shall provide the waiver approval letter to the individual receiving services, prior to commencing such 1489 1490 services. Individuals receiving services shall have the right to request an 1491 alternative employee. In addition, each homemaker-companion agency 1492 shall require that such prospective employee complete and sign a form 1493 which contains questions as to whether the prospective employee was 1494 convicted of a crime involving violence or dishonesty in a state court or 1495 federal court in any state; or was subject to any decision imposing 1496 disciplinary action by a licensing agency in any state, the District of 1497 Columbia, a United States possession or territory or a foreign 1498 jurisdiction. Any prospective employee who makes a false written 1499 statement regarding such prior criminal convictions or disciplinary 1500 action shall be guilty of a class A misdemeanor. Each homemaker-1501 companion agency shall maintain a paper or electronic copy of any materials obtained during the comprehensive background check and 1502 1503 shall make such records available for inspection upon request of the 1504 Department of Consumer Protection.

Sec. 36. Subsection (c) of section 20-281c of the general statutes is repealed and the following is substituted in lieu thereof (*Effective from passage*):

(c) An applicant may apply to take the examination if such person,

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- 1509 [holds a baccalaureate degree, or its equivalent, conferred by a college
- or university acceptable to the board, with an accounting concentration
- or equivalent] at the time of the examination, completed not less than
- one hundred twenty semester hours of education, as determined by the
- board by regulation to be appropriate. The educational requirements for
- a certificate shall be prescribed in regulations to be adopted by the board
- 1515 as follows:
- 1516 (1) Until December 31, 1999, a baccalaureate degree or its equivalent
- 1517 conferred by a college or university acceptable to the board, with an
- accounting concentration or equivalent as determined by the board by
- 1519 regulation to be appropriate;
- 1520 (2) After January 1, 2000, at least one hundred fifty semester hours of
- 1521 college education including a baccalaureate or higher degree conferred
- by a college or university acceptable to the board. The total educational
- 1523 program shall include an accounting concentration or equivalent, as
- determined by the board by regulation to be appropriate.
- 1525 Sec. 37. Subsection (b) of section 20-691 of the general statutes is
- repealed and the following is substituted in lieu thereof (*Effective from*
- 1527 *passage*):
- (b) (1) A person seeking registration as a locksmith shall apply to the
- 1529 commissioner on a form provided by the commissioner. The application
- shall include the applicant's name, residence address, business address,
- business telephone number, a question as to whether the applicant has
- been convicted of a felony in any state or jurisdiction, and such other
- 1533 information as the commissioner may require. The applicant shall
- submit to a request by the commissioner for a [recent] state and national
- criminal history records check conducted pursuant to section 29-17a. No
- registration shall be issued unless the commissioner has received the
- 1537 results of a such records check. In accordance with the provisions of
- 1538 section 46a-80 and after a hearing held pursuant to chapter 54, the
- 1539 commissioner may revoke, refuse to issue or refuse to renew a
- registration when an applicant's criminal history records check reveals
- the applicant has been convicted of a crime of dishonesty, fraud, theft,

- 1544 (2) The application fee for registration as a locksmith and the biennial 1545 renewal fee for such registration shall be two hundred dollars.
- 1546 (3) The department shall establish and maintain a registry of locksmiths. The registry shall contain the names and addresses of registered locksmiths and such other information as the commissioner may require. Such registry shall be updated at least annually by the department, be made available to the public upon request and be published on the department's Internet web site.
  - (4) No person shall engage in locksmithing, use the title locksmith or display or use any words, letters, figures, title, advertisement or other method to indicate said person is a locksmith unless such person has obtained a registration as provided in this section.
  - (5) The following persons shall be exempt from registration as a locksmith, but only if the person performing the service does not hold himself or herself out to the public as a locksmith: (A) Persons employed by a state, municipality or other political subdivision, or by any agency or department of the government of the United States, acting in their official capacity; (B) automobile service dealers who service, install, repair or rebuild automobile locks; (C) retail merchants selling locks or similar security accessories or installing, programming, repairing, maintaining, reprogramming, rebuilding or servicing electronic garage door devices; (D) members of the building trades who install or remove complete locks or locking devices in the course of residential or commercial new construction or remodeling; (E) employees of towing services, repossessors, or an automobile club representative or employee opening automotive locks in the normal course of his or her business. The provisions of this section shall not prohibit an employee of a towing service from opening motor vehicles to enable a vehicle to be moved without towing, provided the towing service does not hold itself out to the public, by directory advertisement, through a sign at the facilities of the towing service or by any other form of advertisement, as

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- 1575 a locksmith; (F) students in a course of study in locksmith programs 1576 approved by the department; (G) warranty services by a lock 1577 manufacturer or its employees on the manufacturer's own products; (H) maintenance employees of a property owner or property management 1578 1579 companies at multifamily residential buildings, who service, install, 1580 repair or open locks for tenants; and (I) persons employed as security 1581 personnel at schools or institutions of higher education who open locks 1582 while acting in the course of their employment.
- 1583 Sec. 38. Section 20-281*l* of the general statutes is repealed and the following is substituted in lieu thereof (Effective October 1, 2020): 1584
  - **[**(a) Except as expressly permitted by this section, a licensee shall not: (1) Pay a fee or commission to obtain a client; or (2) accept a fee or commission for referring a client to the products or services of a third party.
  - (b) A licensee, who is not performing any of the services set forth in subsection (c) of this section and who complies with the provisions of subsection (d) of this section, may accept a fee or commission for referring a client to the products or services of a third party if such referral is made in conjunction with professional services provided to the client by such licensee making such referral. Nothing in this subsection shall be construed to permit the solicitation or acceptance of a fee or commission solely for the referral of a client to a third party.]
  - [(c)] (a) A licensee shall not [perform services for] recommend or refer any product or service to a client for a commission and shall not accept a commission from a client during the period that the licensee is performing for such client any of the following services or during the period that is covered by any historical financial statements that are involved in any of the following services: (1) An audit or review of a financial statement; (2) a compilation of a financial statement if the licensee expects or [has reasonable cause to] might reasonably expect that a third party will use the financial statement and the <u>licensee's</u> compilation report does not disclose a lack of independence; or (3) an examination of prospective financial information.

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- 1608 [(d)] (b) A licensee who is not prohibited under this section from 1609 performing services for a [fee or] commission or from accepting a [fee or commission and who is paid or expects to be paid a [fee or] 1610 1611 commission shall disclose such payment or expectation to any [client or 1612 other] person or entity to whom such licensee recommends or refers a 1613 product or service to which the [fee or] commission relates.
  - I(e) As used in this section, "fee" includes, but is not limited to, a commission, rebate, preference, discount or any other consideration.
  - (f) This section does not prohibit payments for the purchase of all, or a material part, of an accounting practice, or retirement payments to individuals who are or were formerly engaged in the practice of public accountancy, or payments to the heirs or estates of such individuals.
  - (g) Nothing in this section shall be construed to relieve a licensee from any requirement under federal or state law that obligates such licensee to obtain a license or authorization prior to referring a client to the products or services of a third party, including, but not limited to, any license requirements under federal or state securities or insurance laws.]
  - Sec. 39. Section 20-281m of the general statutes is repealed and the following is substituted in lieu thereof (*Effective October 1, 2020*):
- 1627 (a) A licensee shall not, during any period in which the licensee is 1628 engaged to perform any of the services listed in this subsection or during 1629 any period covered by any historical financial services involved in any 1630 of such services: (1) Perform for a contingent fee any of the following 1631 professional services, or accept a contingent fee from a client for whom 1632 the licensee <u>or the licensee's firm</u> performs any of the following services: 1633 (A) An audit or review of a financial statement; (B) a compilation of a 1634 financial statement if the licensee expects or has reasonable cause to 1635 expect that a third party will use the financial statement and the 1636 licensee's compilation report does not disclose a lack of independence; 1637 or (C) an examination of prospective financial information, or (2) 1638 prepare an original or amended tax return or claim for a tax refund for 1639 a contingent fee for any client.

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- (b) As used in this section, "contingent fee" means a fee established 1640 1641 for the performance of a service that will not be charged unless a 1642 specified finding or result is attained or in which the amount of the fee 1643 is dependent on a specified finding or result of such service. "Contingent 1644 fee" does not include: (1) A fee fixed by courts or other [public] 1645 governmental authorities; (2) a fee in a tax matter that is based on the 1646 results of judicial proceedings or the findings of governmental agencies; 1647 or (3) a fee that varies based solely on the complexity of the services rendered. 1648
- [(c) A contingent fee arrangement between a licensee and a client shall be in writing and shall state the method by which the fee is determined.]
- Sec. 40. Section 20-281d of the general statutes is repealed and the following is substituted in lieu thereof (*Effective October 1*, 2020):
- 1654 (a) The board shall issue or renew licenses to persons who make 1655 application and demonstrate their qualifications in accordance with 1656 subsections (b) to (g), inclusive, of this section.
  - (b) Licenses shall be initially issued for one year and renewed annually. Applications for such licenses shall be made in such form, and in the case of applications for renewal, between such dates, as the board shall by regulation adopted in accordance with the provisions of chapter 54 specify.
- 1662 (c) An applicant for initial issuance of a license under this section shall show:
- 1664 (1) That [he] <u>such applicant</u> holds a valid certificate;
  - (2) If the applicant's certificate was issued more than four years prior to his <u>or her</u> application for issuance of an initial license under this section, that he <u>or she</u> has fulfilled the requirements of continuing professional education that would have been applicable under subsection (e) of this section if he <u>or she</u> had secured his <u>or her</u> initial license within four years of issuance of his <u>or her</u> certificate and was

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- now applying under subsection (e) of this section for renewal of such license.
- (d) The board shall issue a certificate to a holder of a certificate issuedby another state upon a showing that:
- 1675 (1) The applicant passed the examination required for issuance of his
  1676 or her certificate with grades that would have been passing grades at
  1677 the time in this state; and
  - (2) The applicant meets all current requirements in this state for issuance of a certificate at the time the application is made; or the applicant, at the time of the issuance of the applicant's certificate in the other state, met all such requirements then applicable in this state; or the applicant has had five years of experience in the practice of public accountancy no earlier than the ten years immediately preceding the applicant's application or meets equivalent requirements prescribed by the board by regulation.
  - (e) For renewal of a license under this section, an applicant shall show that he or she has completed forty hours of continuing professional education during each year from the date of issuance or last renewal. A renewal applicant who has a principal place of business outside of this state may show compliance with the provisions of this subsection by certifying in writing that he or she has completed the continuing professional education requirements in the state of the applicant's principal place of business during each year from the date of his or her license issuance or last renewal. The board may prescribe, by regulation adopted in accordance with the provision of chapter 54, the content, duration and organization of continuing professional education courses which contribute to the general professional competence of the applicant.
  - (f) For renewal of a license under this section, the board shall charge the following fees for failure to earn continuing education credits by the June thirtieth deadline:

- 1702 (1) Three hundred fifteen dollars for reporting on a renewal 1703 application a minimum of forty hours of continuing professional 1704 education, any of which was earned after June thirtieth and on or by 1705 September thirtieth;
- 1706 (2) Six hundred twenty-five dollars for reporting on a renewal 1707 application a minimum of forty hours of continuing professional 1708 education any of which was earned after June thirtieth and on or by 1709 December thirty-first.
- 1710 (g) The board shall charge a fee of one hundred fifty dollars for the 1711 initial issuance and the professional services fee for class I, as defined in 1712 section 33-182l, for each annual renewal of such license.
  - (h) Applicants for initial issuance or renewal of licenses under this section shall in their applications list all states in which they have applied for or hold certificates or licenses, and each holder of or applicant for a license under this section shall notify the board in writing, within thirty days after its occurrence, of any issuance, denial, revocation or suspension of a certificate or license by another state.
  - (i) The board shall administer an online renewal system for licenses renewed pursuant to this section. Each applicant for renewal pursuant to this section shall use such online renewal system and shall pay the applicable renewal fee using a credit card or via electronic funds transfer from a bank or credit union account. A licensee may request a waiver of such renewal requirements due to extenuating circumstances and the board may allow such licensee to renew his or her license using a paper form.

This act shall take effect as follows and shall amend the following sections:		
Section 1	July 1, 2020	20-281k(c)
Sec. 2	July 1, 2020	20-500
Sec. 3	July 1, 2020	20-529(c)
Sec. 4	July 1, 2020	20-529b
Sec. 5	July 1, 2020	20-517(c)

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Sec. 6	July 1, 2020	20-295b
Sec. 7	July 1, 2020	20-292
Sec. 8	from passage	20-452(a)
Sec. 9	from passage	20-453
Sec. 10	from passage	20-457
Sec. 11	from passage	20-458(b)
Sec. 12	from passage	20-460(b)
Sec. 13	from passage	21a-190e(b)
Sec. 14	from passage	21a-190f
Sec. 15	from passage	21a-190 <i>l</i>
Sec. 16	from passage	43-8a
Sec. 17	from passage	21a-2
Sec. 18	from passage	21a-7(a)
Sec. 19	from passage	21a-8(c)
Sec. 20	October 1, 2020	21a-10
Sec. 21	from passage	21a-11(c)
Sec. 22	from passage	51-164n(b)
Sec. 23	from passage	20-672
Sec. 24	from passage	20-677
Sec. 25	from passage	New section
Sec. 26	from passage	20-330
Sec. 27	January 1, 2021	New section
Sec. 28	from passage	20-306(a)
Sec. 29	from passage	20-314(f)
Sec. 30	from passage	20-317(b)
Sec. 31	from passage	20-319(b)
Sec. 32	from passage	20-427(d)
Sec. 33	from passage	20-427(f)
Sec. 34	from passage	21-67(d)
Sec. 35	from passage	20-678
Sec. 36	from passage	20-281c(c)
Sec. 37	from passage	20-691(b)
Sec. 38	October 1, 2020	20-281 <i>l</i>
Sec. 39	October 1, 2020	20-281m
Sec. 40	October 1, 2020	20-281d